

Guide for Review of Fiscal Year (FY) 1997 Homeownership Zones (HOZ)			
Name of Program Participant:			
Staff Consulted:			
HOZ Area:		HOZ Grant Amount:	
		HOZ Units:	
Name(s) of Reviewer(s)		Date	

NOTE: All questions that address requirements contain the citation for the source of the requirement (statute, regulation, NOFA, or grant agreement). If the requirement is not met, HUD must make a finding of noncompliance. All other questions (questions that do not contain the citation for the requirement) do not address requirements, but are included to assist the reviewer in understanding the participant's program more fully and/or to identify issues that, if not properly addressed, could result in deficient performance. Negative conclusions to these questions may result in a "concern" being raised, but not a "**finding**."

Instructions: These instructions are applicable to the five active HOZ program participants selected as part of HUD's FY 97 HOZ Grant competition ("Round II"). It is designed to evaluate compliance with HOZ expenditure requirements and assess accomplishments under the HUD-approved HOZ proposal. The Exhibit is divided into five sections: Eligible Activities; Performance; Program Management; Financial Management (cross-referencing only); and Cross-Cutting Requirements. Certain questions require the use of other Exhibits in this Handbook or monitoring guidance contained in other documents. One Exhibit is to be completed for each HOZ project monitored. For activities within the HOZ that are funded by other CPD programs, the reviewer should determine whether to include a review of other CPD programs as part of the HOZ monitoring review and, if so, use the appropriate monitoring Exhibit(s) elsewhere in this Handbook.

Questions:

A. ELIGIBLE ACTIVITIES

1.

Is the program participant carrying out the activities described in its latest approved HOZ grant proposal? [HOZ Grant Agreement, Section II]	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
Describe Basis for Conclusion:		

2.

[OS] Is the program participant using its HOZ funds for approved uses? [HOZ NOFA, Section I.F; HOZ Grant Agreement, Sections II. and IV.(a)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: 	

3.

Has the program participant limited administrative costs paid with the HOZ grant to 5%? [HOZ NOFA, Section I.F.]	<input type="checkbox"/> <input type="checkbox"/> Yes No
Describe Basis for Conclusion: 	

4.

[OS] Are all HOZ activities being carried out within the approved HOZ boundaries? [HOZ NOFA, Section I.D; HOZ Grant Agreement, Section II]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: 	

5.

<p>If the program participant has made changes to its HUD-approved grant proposal, did the program participant follow the procedures for material and non-material amendments? [HOZ Grant Agreement, Section XIII; FY 97 HOZ Competition Procedures for Amendments, 7/8/99]</p>	<table border="1"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Yes</td> <td>No</td> <td>N/A</td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Yes	No	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
Yes	No	N/A					
<p>Describe Basis for Conclusion:</p>							

6.

<p>Did the program participant receive HUD approval for material amendments?</p>	<table border="1"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Yes</td> <td>No</td> <td>N/A</td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Yes	No	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
Yes	No	N/A					
<p>Describe Basis for Conclusion:</p>							

7.

<p>[OS] Do the program participant's files support the eligibility of the activities funded by the HOZ grant? [HOZ Grant Agreement, Section IX; 24 CFR Part 85.20]</p>	<table border="1"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Yes</td> <td>No</td> <td>N/A</td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Yes	No	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
Yes	No	N/A					
<p>Describe Basis for Conclusion:</p>							

B. PERFORMANCE

8.

Is the program participant submitting the required Quarterly Reports on time? [HOZ Grant Agreement, Section X; FY 97 HOZ Competition Procedures for Progress and Performance Reports, 7/8/99 (rev 5/03)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

9.

Are the Quarterly Reports consistent and accurate?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

10.

Do the Quarterly Reports cover all phases of the HOZ? [FY 97 HOZ Competition Procedures for Progress and Performance Reports, 7/8/99 (rev 5/03)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

11.

Is the program participant meeting its HUD approved timeline? [HOZ NOFA, Section I. J(1)(c); HOZ Grant Agreement, Section II]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

12.

Is the program participant meeting its goal for assisting new homebuyers? [HOZ NOFA, Section I.E.(1); HOZ Grant Agreement, Section II]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

13.

Is the program participant meeting the requirement that 51% of new homebuyer families be low- and moderate-income? [HOZ NOFA, Section G; HOZ Grant Agreement, Section IV.(a)(3)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

14.

Is the program participant leveraging the anticipated amount of other funds? [HOZ NOFA, Section II.J.(4); HOZ Grant Agreement, Section II]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

15.

[OS] Has the program participant inspected the completed homebuyer properties to ensure that each property meets all applicable State and local codes and building standards?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Describe Basis for Conclusion:			

16.

Does the program participant have a process for resolving homebuyer complaints?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

17.

Has the program participant missed any significant benchmarks? (If “yes,” specify below.)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

18.

[OS] Do the program participant’s files support the information reported in the Quarterly Report as described below: [HOZ Grant Agreement, Section IX; 24 CFR Part 85.20]			
a. Number of HOZ units?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
b. Location of units within the HOZ boundaries?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
c. Beneficiary data?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
d. Sources and uses of funds?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
e. Leverage?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Describe Basis for Conclusion:			

C. PROGRAM MANAGEMENT

19.

Has the program participant designated a HOZ coordinator?	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
Describe Basis for Conclusion:		

20.

[OS] Does the coordinator have sufficient authority to achieve results, resolve interagency conflicts or issues and take corrective actions? [HOZ NOFA, Section I.J.(5)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

21.

[OS] Has the program participant executed written agreements with its contractors and subrecipients? [HOZ Grant Agreement, Section VIII]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

22.

[OS] Does the program participant have procedures to monitor the performance of its contractors and subrecipients? [HOZ Grant Agreement, Sections IV.(a)(2) and (c)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: 	

23.

[OS] Has the program participant monitored any contractors or subrecipients?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: 	

24.

[OS] Has the program participant taken corrective actions to resolve any findings or concerns?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: 	

D. FINANCIAL MANAGEMENT

[OS] Instructions: For a more detailed review of financial management, use Exhibit 3-15, “Guide for Review of Financial Management.” For a more detailed review of cost allowability, use Exhibit 3-16, “Guide for Review of Cost Allowability.” Identified deficiencies that result in findings should cite the HOZ Grant Agreement, Section IV, which refers 24 CFR Part 84, 24 CFR Part 85 or the applicable OMB Circular.

25.

<p>[OS] Has the program participant established a system to maintain control and accountability of all HOZ grant funds? [HOZ Grant Agreement, Sections IV.(a)(4) and VI.; 24 CFR 85.20; FY 97 HOZ Grantee Financial Instructions, 5/98]</p>	<div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-around;"> Yes No N/A </div>
<p>Describe Basis for Conclusion:</p>	

26.

<p>[OS] Does the program participant have documentation supporting the disbursement of grant funds? [HOZ Grant Agreement VI.(c)]</p>	<div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-around;"> Yes No N/A </div>
<p>Describe Basis for Conclusion:</p>	

27.

<p>[OS] Does the program participant minimize the time elapsing between the transfer of HOZ grant funds and the disbursement of these funds for grant purposes? [HOZ Grant Agreement, Section VI.(b)]</p>	<div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-around;"> Yes No N/A </div>
<p>Describe Basis for Conclusion:</p>	

Exhibit 8-2
Homeownership Zones (1997)

6509.2 REV-5

28.

[OS] Does the program participant account for any program income that is directly generated by the expenditure of HOZ grant funds? [HOZ Grant Agreement, Section VII]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: <div style="height: 100px; border: 1px solid black;"></div>	

29.

[OS] Is program income used for other affordable housing and community development activities? [HOZ Grant Agreement, Section VII]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: <div style="height: 100px; border: 1px solid black;"></div>	

30.

[OS] Are costs charged to the HOZ grant allowable? (Use Exhibit 3-16.) [HOZ Grant Agreement, Section VI.(b)(1); OMB Circular A-87]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: <div style="height: 100px; border: 1px solid black;"></div>	

31.

Does the program participant have a process for ensuring compliance with the Single Audit Act requirements of OMB Circular A-133? [HOZ Grant Agreement, Section VI.(b)(3); OMB Circular A-133]	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Describe Basis for Conclusion:			

32.

Are required audits being submitted in a timely manner? [HOZ Grant Agreement, Section VI.(b)(3); OMB Circular A-133]	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Describe Basis for Conclusion:			

33.

[OS] Are all audit findings resolved in a timely manner? [HOZ Grant Agreement, Section VI.(b)(3); OMB Circular A-133]	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Describe Basis for Conclusion:			

34.

<p>Are there any open audit findings that raise questions about the program participant's financial accountability? [HOZ Grant Agreement, Sections IV.(a)(4) and VI.; 24 CFR 85.20; FY 97 HOZ Grantee Financial Instructions, 5/98; HOZ Grant Agreement, Section VI.(b)(3); OMB Circular A-133]</p>	<table><tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr><tr><td>Yes</td><td>No</td><td>N/A</td></tr></table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Yes	No	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
Yes	No	N/A					
<p>Describe Basis for Conclusion:</p>							

E. CROSS-CUTTING REQUIREMENTS COMPLIANCE

35.

[OS] Is there evidence that the program participant is complying with the following cross-cutting requirements (check "N/A" and indicate if the area was not reviewed or is not applicable):			
a. Procurement? (Use Exhibit 7-22.) [HOZ Grant Agreement, Section IV.(b); 24 CFR 85.36]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
b. Section 3 Economic Opportunities? (Use Exhibit 22-7.) [HOZ Grant Agreement, Section IV.(d)(5)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
c. MBE/WBE? (Use Exhibit 7-22.) [HOZ Grant Agreement, Section IV.(d)(6); 24 CFR 85.36(e)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
d. Lead-based Paint? (See Chapter 24.) [HOZ Grant Agreement, Section IV.(b)(7)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
e. Uniform Relocation Act? (See Handbook 1378.0.) [HOZ Grant Agreement, Section IV.(b)(6)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
f. NEPA? (Use Exhibit 21-1.) [HOZ Grant Agreement, Section III]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
g. Architectural Barriers Act? (Use Exhibit 22-1.) [HOZ Grant Agreement, Section IV.(b)(9)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
h. Property and Equipment Disposition? (Use Exhibit 7-23.) [HOZ Grant Agreement, Section IV.(b); 24 CFR 85.32]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
i. Other (specify)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			